

**The Open Group® Professional  
Certification Program**

**Certification Policy**

Version 1.0  
June 2018

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## **The Open Group<sup>®</sup> Professional Certification Program: Certification Policy**

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Comments relating to the material contained in this document may be submitted to:

The Open Group, 800 District Avenue, Suite 150, Burlington, MA 01803, United States

or by electronic mail to:

[ogspeccs@opengroup.org](mailto:ogspeccs@opengroup.org)

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# 1. Introduction

The Open Group Professional Certification Program (the Program) is designed to validate the existence of those qualities and skills in a professional that enable the effective development, implementation, and operation of Business or IT-related specializations. The Program is skills and experience-based and goes beyond validating the mastery of any specific knowledge base.

Currently the Program covers the following Professions:

- Architect, leading to certification as an Open Certified Architect (Open CA)
- Data Scientist, leading to certification as an Open Certified Data Scientist (Open CDS)
- Technical Specialist, leading to certification as an Open Certified Technical Specialist (Open CTS)
- Trusted Technology Practitioner, leading to certification as an Open Certified Trusted Technology Practitioner (Open CTPP)

Other related Professions may be introduced under this policy in future, without change to this document.

The Program includes a framework for the accreditation of third parties to establish and operate professional certification programs affiliated to The Open Group. The framework of accreditation and certification is specifically intended to standardize the process and criteria for The Open Group Professional Certification and to establish a foundation for the required skills and experience necessary to achieve such a distinction. The Program has been designed to be flexible and extensible so that the framework may be adopted by any industry, country, or organization.

The Program therefore supports two different routes to certification:

- The first route is Direct Certification by The Open Group
- The second route is Indirect Certification through third-party programs accredited by The Open Group

The Conformance Requirements for each of the Professions in the Program apply equally to Direct and Indirect Certification.

Full information about the accreditation of third-party programs is in the Accreditation Policy and the Accreditation Requirements documents available on the Certification Authority's website.

## 1.1 Levels of Certification

The Program recognizes three levels of certification:

- Level 1: A professional who is able to perform with assistance/supervision with a wide range of appropriate skills as a contributing professional.
- Level 2: A professional who is able to perform independently and take responsibility for delivery of solutions as lead professional.
- Level 3: A professional who has achieved significant breadth and depth of impact on the business through the application of their profession.

## 1.2 Migration and Change History

This Version 1.0 of The Open Group Professional Certification Program Certification Policy is intended to replace and supersede the following Certification Policy documents:

1. The Open Group Certified Architect (Open CA) Program, Certification Policy, Version 1.5.2

## 2. The Open Group Certified Professional (Open CITS) Program: Certification Policy Version 2.0.1

This document applies to new applications for certification from the date(s) published on The Open Group website for the Open CA and Open CTS Professions.

This new policy allows for the use of Milestone Badges to provide a stepwise path to certification.

People certified prior to the publication of this document are unaffected by its publication.

Certified Professionals re-certifying after publication of this document will follow the process defined in Section 9.

Organizations whose certification program was accredited prior to the publication of this document are not required to make any changes to their programs because of publication of this document. However, they may do so at their discretion. Any such changes will be reviewed when re-accreditation becomes due.

### 1.3 Certification Logo

Professionals certified within the Program are able to use the Certification Logo with labels indicating their specific area of certification, in accordance with the Trademark License Agreement and Trademark Usage Guide. The Certification Logo and labels are defined in each Profession's Configuration Document.

### 1.4 Fees

The Certification Authority charges fees for the certification of professionals. These fees are published on the Certification Authority's website.

### 1.5 Terminology and Definitions

The following table defines terms or clarifies the meaning of words used within this document. Where an acronym is also used, it is provided in parentheses.

Accredited Certification Program (ACP)	A certification program, operated by a group of people under the leadership of a Certification Program Manager, that has successfully completed the accreditation process and for which the organization has been notified in writing by the Certification Authority that accreditation has been achieved. Depending on context, the term is also used to mean the company or organizational unit that operates an Accredited Certification Program.
Board Member	A Certified Professional who agrees to participate in Peer Review Boards at the request of the Certification Authority. Board Members must have been certified unanimously by their Peer Review Boards, and their Peer Review Boards must have unanimously recommended that they be invited to become Board Members.
Candidate	A person seeking certification in the Program.
Certificate	The credential made available to Candidates who have successfully completed the certification process and whose details have been entered into the Register of Certified Professionals.
Certification Agreement	The agreement between the Candidate and the Certification Authority that defines the certification service to be provided and contains the legal commitment by the Candidate to the conditions of the Program.

Certification Authority (CA)	The organization that manages the day-to-day operations of the Program in accordance with the policies defined in this document. The Open Group is the Certification Authority for the Program.
Certification Badge	The digital credential issued to a Candidate that demonstrates successful achievement of certification within a Profession.
Certification Logo	The logo or other trademarks as designated from time to time by The Open Group for use by Certified Professionals in accordance with the terms of the Trademark License Agreement.
Certification Package	<p>The detailed description of the evidence for the skill levels and experience attained that provides the Certification Authority or Accredited Certification Program with sufficient information to determine whether the Candidate meets the Conformance Requirements. The Certification Package is never made public.</p> <p>The Certification Package is assembled by the Certification Authority or the Accredited Certification Program after all Milestone Application Forms and the Experience Application Form have been approved and is then submitted to a Peer Review Board for review.</p>
Certification Record	<p>The information identifying the Candidate, including contact details, and identifying the Profession in which the person is certified, together with a description of the way in which the Candidate meets the Conformance Requirements, including the Candidate’s level(s) of certification, and their Discipline/Stream/Specialization(s).</p> <p>The Certification Record of a Certified Professional is made available by the Certification Authority at the discretion of the Certified Professional.</p>
Certification System Deficiency (CSD)	An agreed error in the certification system, which is inhibiting the certification process. A Certification System Deficiency is one possible outcome of a Problem Report.
Certified Professional	A person who has been notified in writing by the Certification Authority that they have successfully completed the process to achieve certification in the Program and such certification has not lapsed or been revoked.
Configuration Document	<p>For each Profession, a Configuration Document defines Profession-specific details including:</p> <ul style="list-style-type: none"> <li>• The Conformance Requirements document(s) that apply to the Profession</li> <li>• The Discipline/Stream/Specialization(s) included in the Profession</li> <li>• The Milestone Badges and their related Conformance Requirements</li> <li>• The levels of certification and their corresponding Peer Review Board parameters</li> <li>• The Specification Authority for the Profession and Program</li> <li>• Logos and labels for use by Certified Professionals</li> <li>• The policy for transition from the previous “monolithic” process to the Milestone approach defined in this document</li> </ul>

Conformance Requirements	<p>For each Profession in the Program, a Configuration Document defines the Profession’s set of Conformance Requirements by reference to one or more documents published by The Open Group. A Profession’s Configuration Document may also include Conformance Requirements by reference to documents published by third parties.</p> <p>Conformance Requirements are typically divided up into core basic skills, Discipline/Stream/Specialization-specific skills, and Experience Requirements.</p>
Direct Certification	<p>Direct Certification is achieved by applying directly to The Open Group, or to a third party operating the Program on behalf of The Open Group, and successfully completing the certification process.</p> <p>Direct Certification is open to any Candidate, regardless of who they work for, or where in the world they live and work.</p>
Discipline/Stream/Specialization	A branch or area of specialization within a Profession; e.g., Business Architecture, Application Developer.
Evaluation Process	The documented process by which the Certification Authority and Peer Review Board together determine whether a Candidate meets the Conformance Requirements.
Evaluation Process Deficiency (EPD)	An agreed error in the Evaluation Process that is inhibiting the certification process. An Evaluation Process Deficiency is one possible outcome of a Problem Report.
Experience Application Form	The Experience Application Form is a template document provided by the Certification Authority to allow Candidates to describe how their experience meets the Profession’s Experience Requirements.
Experience Requirements	The Experience Requirements for each Profession define the amount of experience a Candidate must have as a practitioner in their chosen Discipline/Stream/Specialization to achieve certification.
Indirect Certification	<p>Indirect Certification is achieved by applying to an Accredited Certification Program and successfully completing the certification process.</p> <p>Ordinarily, in order to be eligible for certification by a particular Accredited Certification Program, Candidates must work for the organization running the Accredited Certification Program.</p>
Interpretation (INT)	Decision made by the Specification Authority that elaborates or refines the meaning of the Conformance Requirements, Certification Policy, Accreditation Policy, Accreditation Requirements, or a standard or best practice referenced therein. An Interpretation is one possible outcome of a Problem Report.
Milestone	A predefined subset of the Conformance Requirements, which can be evaluated as a group. Milestones are documented in each Profession’s Configuration Document.
Milestone Application Form	A Milestone Application Form is a template document provided by the Certification Authority to allow Candidates to describe how their experience meets the Profession’s Conformance Requirements required for a Milestone, as defined in the Profession’s Configuration Document. For each Profession, there are different Milestone Application Forms for each different type of Milestone.
Milestone Badge	The digital credential issued to a Candidate who has reached a Milestone.

Peer Review Board	The group of Board Members appointed by the Certification Authority or by an Accredited Certification Program to evaluate one or more application(s) for certification or for Milestone Badges.
Problem Report	A question of clarification, intent, or correctness of an accreditation or certification document, or the web-based certification or accreditation systems, which, if accepted by the Certification Authority, will be resolved into an Interpretation, an Evaluation Process Deficiency, or a Certification System Deficiency.
Profession	A Profession is defined by a set of Conformance Requirements and the related Configuration Document – a group of related professional disciplines described in the Conformance Requirements and related Configuration Document.
Register of Certified Professionals	The official list of all Certified Professionals, which is maintained by the Certification Authority and made publicly available on the Certification Authority’s website.
Specification Authority (SA)	The Open Group working group(s) responsible for developing, maintaining, and interpreting the Certification Policy, Conformance Requirements, Configuration Documents, Accreditation Policy, and Accreditation Requirements of the Program and each of the Professions within it..
Trademark License Agreement (TMLA)	The agreement between the Certified Professional and The Open Group that contains the legal commitment to the conditions for use of the Certification Logo.



## **2. Certification Process**

This section defines the process Candidates must follow to achieve certification.

The Program allows for either Direct Certification by The Open Group, or Indirect Certification by an Accredited Certification Program.

It is an essential feature of the Program that the Conformance Requirements that Candidates must meet in Direct Certification must also be met by Candidates for Indirect Certification.

The two processes are described separately in the following sections.

### **2.1 Direct Certification**

Direct Certification requires Candidates to submit information that describes their skills and experiences and how they meet the Conformance Requirements for a given Profession and level of certification. The full set of information provided is called the Certification Package.

Originally, the Program required Candidates to provide all information for the Certification Package at one time. This revised Certification Policy allows for Candidates to provide information in a stepwise manner for defined subsets of the Conformance Requirements, called Milestones. Candidates are eligible for certification after achieving the required set of Milestone Badges and a successful review of their Experience Application Form.

Milestone Badges do not replace any part of the certification process; they merely provide a means for Candidates to gain credit for completing sections of their package and having them reviewed. Successful achievement of a Milestone Badge indicates the successful validation of a part of the full set of Conformance Requirements needed for certification.

For each of the Professions to which this Policy applies, a Configuration Document defines the levels of certification and the Milestone Badges available to Candidates, and refers to the Conformance Requirements that must be met to achieve the badges and certifications at the different levels.

In Direct Certification, the Configuration Document defines the date after which the old-style monolithic packages will not be accepted and all Candidates must use the stepwise Milestone Badge approach.

The parties involved in the Direct Certification process are:

- The Candidate
- The Certification Authority
- The Peer Review Board
- The Specification Authority

#### **1. Candidate Prepares for Certification**

Prior to applying for certification, the Candidate should become familiar with the Program and ensure that they meet the applicable requirements.

To accomplish this, the Candidate should review this Certification Policy document, the relevant Profession's Configuration Document, the Milestone and Experience Application Forms, the agreements that are part of the Program, and other related information such as the Certification Program Guide and FAQ. All information and documents related to the Program are available on the Certification Authority's website.

Candidates are encouraged to use the certification self-assessment tools on the Certification Authority’s website to validate their readiness to certify at the level and discipline they have selected.

Candidates must take great care to ensure that they obtain the correct Milestone Application Forms from the Certification Authority’s website for their chosen level and Discipline/Stream/Specialization.

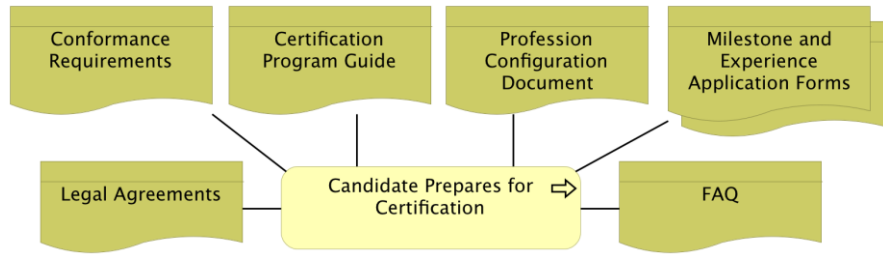


Figure 1

## 2. Candidate Prepares Application for a Milestone Badge

The Candidate must prepare an application for a Milestone Badge by completing the Milestone Application Form provided by the Certification Authority. The Milestone Application Form is a template document that allows a Candidate to provide evidence of the levels of skill and experience they have attained. The completed form provides the Certification Authority with sufficient information to determine whether the Candidate meets the Conformance Requirements for the Milestone Badge being applied for.

Candidates must check the Configuration Document to be sure that they are using the correct Milestone Application Form for the Profession, the Discipline/Stream/Specialization within the Profession, the Milestone Badge, and the level they wish to apply for.

Although applications for each Milestone Badge are submitted individually, to achieve certification Candidates will also need to submit a completed Experience Application Form (Step 6), which will require a broad view of the Candidate’s experiences. It is best the Candidate plans ahead, so that the experience from completed Milestone Badges can be leveraged in this final stage.

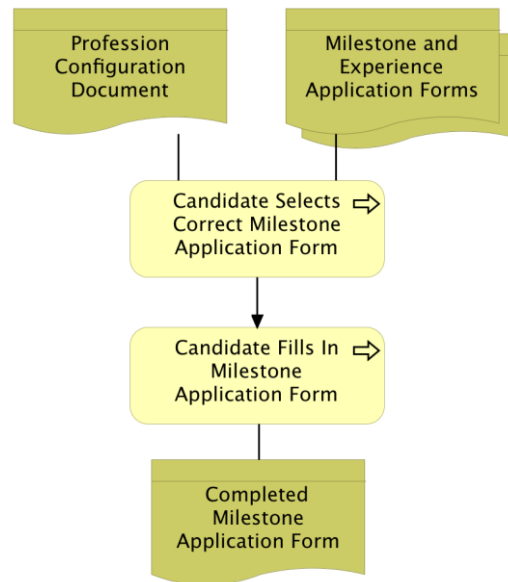


Figure 2

### 3. Candidate Registers for Certification

The Candidate must register for certification, specifying the desired Profession and certification level. If the Candidate does not already have an account with the Certification Authority, the Candidate must create one now. The information provided for the account will be included in the Certification Record. The Certification Record identifies the Candidate and provides a summary of how the Candidate meets the Conformance Requirements for Milestone Badges and for certification. The Candidate must also agree to the Certification Agreement, which covers the terms under which the Certification Authority provides the certification service, and the Trademark License Agreement, which covers the terms under which the Candidate may use the Certification Logo upon achieving certification.

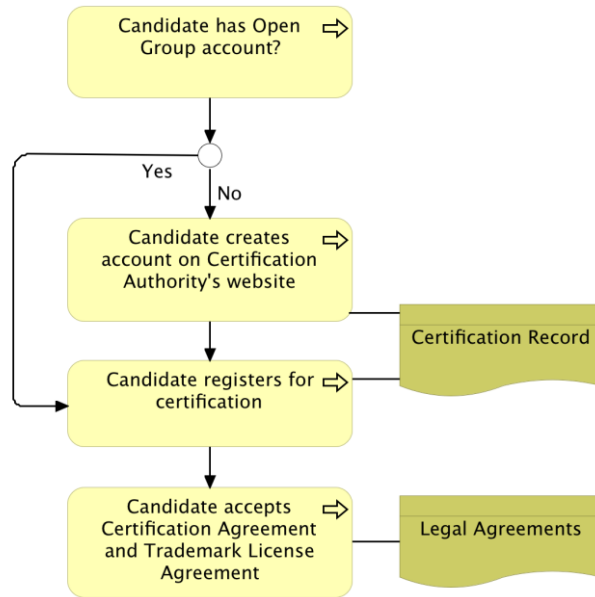


Figure 3

### 4. Candidate Submits Milestone Application Form(s)

When ready to do so, the Candidate submits one or more completed Milestone Application Forms to the Certification Authority.

Payment will be required at this stage.

The Certification Authority will not make the Candidate’s Milestone Application Form(s) public, but the Certification Authority retain the submissions associated with the Candidate.

The Certification Authority will review the submitted Milestone Application Form. If minor problems of completeness or consistency are found, the Certification Authority will give the Candidate an opportunity to make corrections and re-submit. For Milestone Badges, the Certification Authority will arrange a review, as defined in the Configuration Document for the Profession. Reviewer(s) may contact the Candidate with questions of clarification.

The outcome of the review will be either to accept or decline the application for a Milestone Badge.

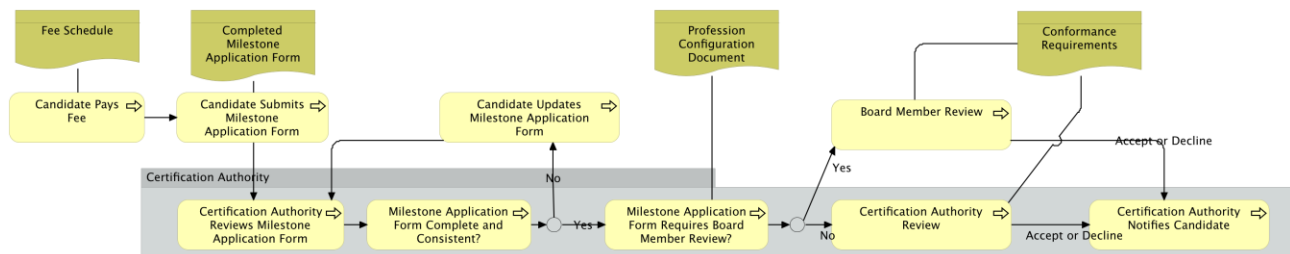


Figure 4

### 5. Certification Authority Notifies Candidate of the Milestone Badge Decision

The Certification Authority will notify the Candidate of the Milestone Badge decision. If the decision is to decline, the Candidate will be provided with the reasons for the decision.

If the decision is to accept the application, the Candidate will be provided with the information needed to obtain the applicable Milestone Badge.

*Candidates are expected to apply for several Milestone Badges by repeating Steps 2 and 4.*

*After achieving all of the Milestone Badges required for certification, Candidates may proceed to the next step (Step 6 below).*

## 6. Candidate Prepares Experience Application Form

The Candidate must complete an Experience Application Form to describe the experience they have attained and provide the Certification Authority with sufficient information to determine whether the Candidate meets the Experience Requirements.

The Experience Application Form should be completed as the final step in applying for certification. The Experience Application Form **should not** be submitted until **all** Milestone Badges required for certification have been attained.

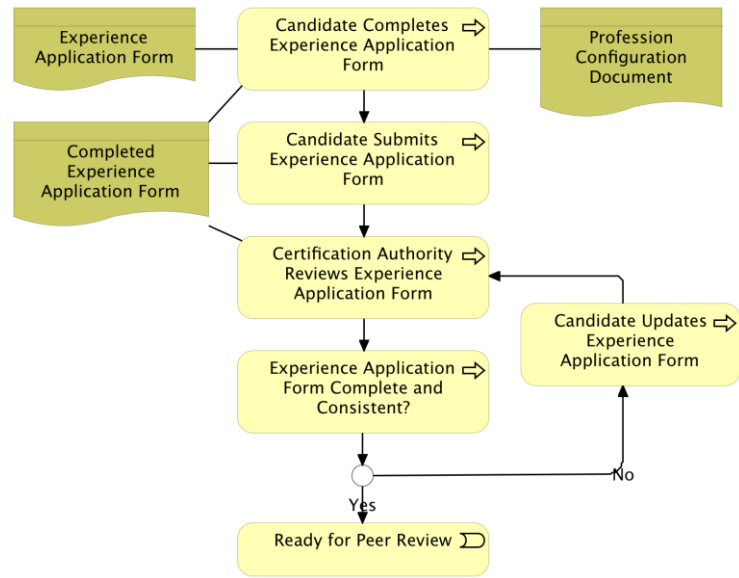


Figure 5

When ready to do so, the Candidate may upload the completed Experience Application Form to the Certification Authority’s website.

The Candidate’s Experience Application Form will not be made public.

## 7. Certification Authority Audits Documentation

The Certification Authority will audit the submitted Experience Application Form to ensure it is complete and well formed. The Candidate will be required to correct any errors or inconsistencies in the Experience Application Form before the certification process can continue, and will be allowed a single opportunity to do so.

The Certification Authority then assembles all content from the accepted Milestone Application Forms and the Experience Application Form into the Certification Package that will be sent to Board Members as evidence to be evaluated for certification. The Candidate will not be allowed to modify the Certification Package.

## 8. Peer Review Board Evaluation

The Peer Review Board will evaluate each Candidate for compliance to the Conformance Requirements by following the Evaluation Process defined in Section 6.

If certification is declined, previously awarded Milestone Badges are not revoked or otherwise affected unless the Candidate is found to have willingly misrepresented their skills or experience in one or more Milestone Application Forms, in which case the related Milestone Badge(s) will be revoked.

Candidates who are found to have willingly misrepresented their skills or experience may, subject to the appeals process, be censured by the Peer Review Board and banned from partaking in future certification reviews for a minimum period of one (1) year. The Certification Authority may, at any time, revoke a certification for similar reasons.

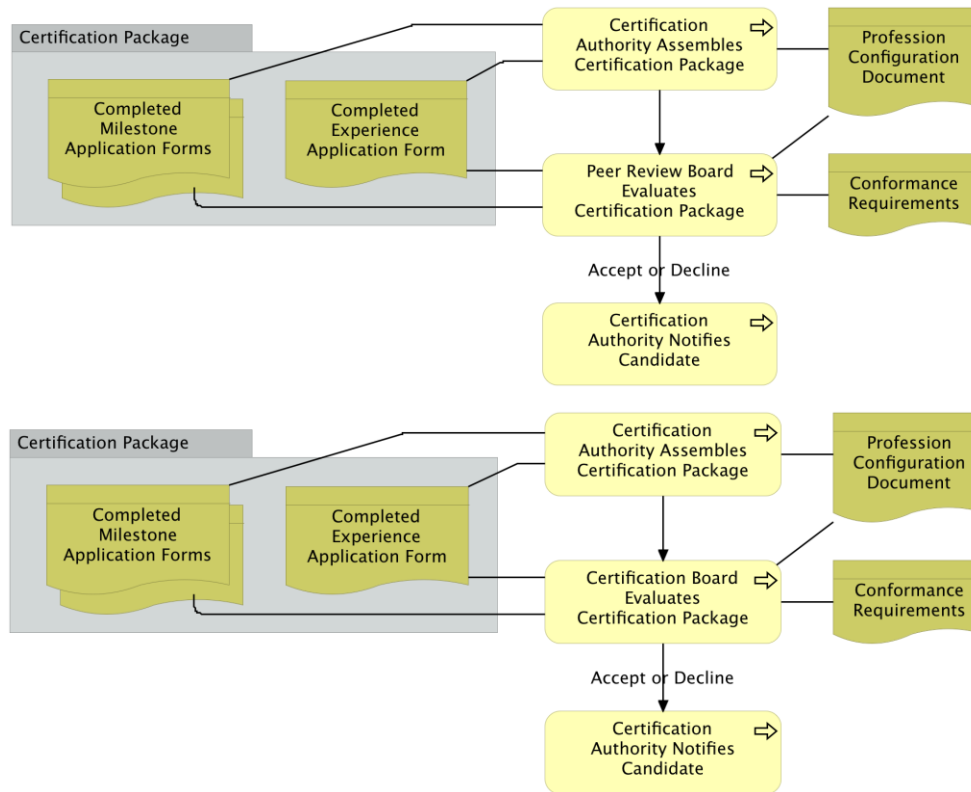


Figure 6

The Peer Review Board will evaluate each certification application and make a written recommendation to the Certification Authority regarding certification. At least two (2) of the three members of the Peer Review Board assigned to an application must concur with the recommendation to certify. Should an application be assessed as non-conforming, the Peer Review Board will state the reasons in writing and provide a written description of the deficiencies for the Certification Authority to pass to the Candidate to facilitate future enhancement to the Candidate’s compliance to the Conformance Requirements.

### 9. Certification Authority Notifies Candidate

The Certification Authority will notify the Candidate in writing of the decision of the Peer Review Board.

If the decision is to accept, the Certification Authority will make a Certificate available to the Candidate in electronic form and enter the Candidate’s Certification Record into the relevant Register of Certified Professionals.

The Candidate will be able to control to whom the Certification Record is disclosed and to update contact and employer information in the Certification Record.

The Candidate will also be provided with the information needed to obtain the Certification Badge applicable to their certification.

If the Peer Review Board decision is to decline (i.e., the Conformance Requirements have not been met), the Certification Authority will reject the application for certification and report the discrepancies with the Conformance Requirements to the Candidate. The Candidate may undertake corrective action and re-apply, including payment of the applicable certification fees.

## **2.2 Indirect Certification**

The Evaluation Process used in Indirect Certification delegates most of the activity of the Certification Authority and the Peer Review Board to an Accredited Certification Program.

The Open Group recognizes both a monolithic approach to certification by an Accredited Certification Program or step-by-step certification. The monolithic approach requires the certification Candidate to complete a single Certification Package with evidence that meets the entire set of Conformance Requirements. This package is then submitted to a Peer Review Board for review.

In the step-by-step approach, Candidates may demonstrate conformance with a number of defined subsets of the Conformance Requirements in succession. At the time of certification, the Candidates may need to meet extended certification requirements raised by the organization running the Accredited Certification Program.

To achieve certification, a complete Certification Package is assembled and sent to a Peer Review Board for review.

In either approach to certification, the Accredited Certification Program must ensure that:

- All their Candidates meet the Conformance Requirements as defined by The Open Group certification program for a given Profession, level, and Discipline/Stream/Specialization
- The evaluation methods and procedures must be functionally equivalent to those defined in this Certification Policy and the Profession's Configuration Document

In the step-by-step approach, an Accredited Certification Program may either define its own steps or may choose the steps defined by the Certification Authority:

- Accredited Certification Program defines its own steps

In this approach, the Accredited Certification Program only assures that Candidates who have achieved certification have met the Conformance Requirements that apply to the Candidate's chosen Profession, level, and Discipline/Stream/Specialization. The Accredited Certification Program's evaluation process must be functionally equivalent to that of the Certification Authority, but need not be identical.

- Accredited Certification Program adopts the steps defined by The Open Group

In this approach, the Accredited Certification Program fully adopts the steps defined in the Configuration Document for that Profession and their Evaluation Process is equivalent to that of the Certification Authority. The Accredited Certification Program may choose to use the Certification Authority to issue Milestone Badges.

## 3. Conformance

### 3.1 Conformance Requirements

For each Profession in the Program, the Configuration Document defines the Profession's Conformance Requirements by reference to one or more documents published by The Open Group. The Configuration Document may also include Conformance Requirements published by third parties, and may identify third-party digital credentials or certifications that are recognized as demonstrating conformance to some of the Conformance Requirements for a particular Profession and one or more Discipline/Stream/Specializations within it.

It is an explicit condition of the Program that Certified Professionals warrant and represent that the applicable Conformance Requirements are met at the time of certification and subsequently.

For Indirect Certification, it is an explicit condition of the Program that each organization operating an Accredited Certification Program warrants and represents that the applicable Conformance Requirements are met by all professionals certified through their program at the time of their certification and subsequently.

### 3.2 Certification Record

A Certification Record contains a Certified Professional's name, contact information, and details on the certification achieved and its current status. The Certification Record will be included in the Certified Professional's entry in the Register of Certified Professionals.

Certified Professionals must ensure that their Certification Record is kept accurate and up-to-date and they will be required to confirm the correctness of the Certification Record annually at the request of the Certification Authority. Failure to confirm the Certification Record within 90 days of the request will mean certification will be terminated.

If a Certified Professional wishes to change administrative details – such as contact information (address, phone number, email address, etc.) – they will be able to do so directly on the Certification Authority's website.

The Certification Record will contain the following information:

Field alterable by Certification Authority on receipt of proof of change of name:

1. Full Name

Fields editable by Certified Professionals (the "contact details"):

2. Contact information (including phone numbers and email addresses)
3. Mailing addresses (personal and/or business)
4. Employer/business name, if applicable

Fields not editable by Certified Professionals:

5. Direct or Indirect Certification (if indirect, the name of the organization operating their Accredited Certification Program with a link to the entry in the register)
6. Certification expiry date
7. Certification state: *current* or *lapsed*
8. Specific Conformance Requirements met including any options (for example, level, Discipline/Stream/Specialization)

9. History of past certifications (date of first certification, any certification at a new level, and dates of any re-certifications)

All Certification Records are in English.

The Certification Authority will send email confirmation to Certified Professionals whenever there is a change to the non-editable contents of their Certification Record.



## **4. Use of the Certification Logo**

### **4.1 Use by Certified Professionals**

All Certified Professionals will be licensed to use the Certification Logo, with the applicable label, in relation to the services they offer and in descriptions of themselves and their skills and experience; for example, on business cards, email signatures, social media profiles, and in proposals and marketing materials.

#### **4.1.1 Licensing the Certification Logo**

As part of both the Direct and Indirect Certification processes, Candidates enter into a Trademark License Agreement for the Certification Logo with The Open Group. The Open Group then issues the artwork for the Certification Logo that includes a label that identifies the Profession and level of certification that has been achieved. The Trademark License Agreement is the legal contract governing how the Certification Logo may be used and defines the rights and obligations of the Certified Professional.

Award of the Certification Logo is not an endorsement of any person, product, or service by The Open Group.

#### **4.1.2 Use of the Certification Logo**

Certified Professionals are required to ensure that they continue to meet the applicable Conformance Requirements at all times.

Certified Professionals shall only use the Certification Logo as defined in the Trademark License Agreement.

The Certification Authority has the right at any time to audit a Certified Professional's claims of conformance, use of the Certification Logo, and adherence to the requirements of this Certification Policy and to the Trademark License Agreement.

Customers and prospective customers of a Certified Professional who discover a non-conformance may report such non-conformance to the Certification Authority.

Use of the Certification Logo with a label for a level higher than the one to which the Certified Professional is certified, or for a Profession other than one in which a person is certified, is not permitted. If a Certified Professional is found to be doing so, then the Certification Authority may remove the professional from the Register of Certified Professionals, in which case the professional ceases to be a Certified Professional and may no longer use the Certification Logo.

The Certification Authority may, at any time, request Certified Professionals to provide the Certification Authority with any information reasonably related to their conformance with the applicable Conformance Requirements. If a Certified Professional fails to provide such information within 45 days of the request, then the Certification Authority may remove the professional from the Register of Certified Professionals, in which case the professional ceases to be a Certified Professional and may no longer use the Certification Logo.

If a Certified Professional is found by any means to no longer meet the applicable Conformance Requirements, the Certification Authority will notify the Certified Professional who shall:

1. Within 90 days rectify the non-conformity and satisfy the Certification Authority of the efficacy of the rectification; or
2. Within 90 days satisfy the Certification Authority that they are conformant; or

3. Within 90 days cease all use of the Certification Logo, in which case the professional ceases to be a Certified Professional; or
4. Within 45 days invoke the appeals process described in Section 11

If option (4) is selected, the Certified Professional will have 45 days from the completion of the appeals process to implement the decision or cease all use of the Certification Logo.

If the professional fails to take one of the above actions within the timescales described above, the professional will cease to be a Certified Professional and may no longer use the Certification Logo.

#### **4.1.3 Removal of the Certification Logo**

If a professional ceases to be a Certified Professional, any and all rights they have to use the Certification Logo cease immediately. The professional at their own expense shall remove the Certification Logo from all business cards, marketing materials, proposals, websites, and other materials. The Certification Authority may inspect such materials, to ensure adequate removal of the Certification Logo.

Once the rights to the Certification Logo have been removed, any future use of the Certification Logo will require re-certification.

**Failure to adhere to these provisions will be a breach of the Trademark License Agreement and shall result in its termination.**

## **4.2 Use of the Certification Logo by Accredited Certification Programs**

Organizations operating an Accredited Certification Program will be licensed to use the Certification Logo, with applicable labels, in relation to the Certified Professionals they employ; for example, in proposals and in marketing materials.

The Certification Logo, with the applicable labels, may be used by an Accredited Certification Program in relation to Certified Professionals only after the Certification Authority has entered that Certified Professional into the Register of Certified Professionals.

The Certification Logo may only be used on or in relation to Certified Professionals. It may not be used in relation to other employees who have not been certified, or in relation to employees who have been withdrawn from the certification process.

Award of the Certification Logo is not an endorsement of any product or service by The Open Group.

Full information about the use of the Certification Logo by Accredited Certification Programs is documented in The Open Group Professional Certification Program Accreditation Policy.

## **5. Register of Certified Professionals**

### **5.1 Inclusion in the Register**

The Register of Certified Professionals (the Register) is a web-accessible record of all professionals certified within the Program and is maintained by the Certification Authority. The Register contains the Certification Records of all Certified Professionals.

For Direct Certification, once the Certification Authority is satisfied that the Candidate meets the applicable Conformance Requirements and has completed all other requirements for certification, the Certification Authority will issue written notice to the Candidate that they have met the Conformance Requirements of the Profession and enter their Certification Record into the Register of Certified Professionals.

For Indirect Certification, once the Accredited Certification Program management is satisfied that the Candidate meets the applicable Conformance Requirements and all other requirements for certification, the Accredited Certification Program will issue written notice to the Candidate that they have met the Conformance Requirements for the Profession, and will send the information about the Candidate and the certification achieved to the Certification Authority, so that a Certification Record can be created. The Certification Authority will then contact the Candidate requesting them to enter into the Trademark License Agreement in order for the certification process to be completed and for their Certification Record to be entered into the Register of Certified Professionals.

### **5.2 Visibility**

A Certified Professional may at any time specify whether their Certification Record is displayed in the public Register of Certified Professionals or kept private and how much of their information is visible publicly, unless the professional is associated with an Accredited Certification Program that places specific requirements on a Certified Professional's visibility. By default, entries in the Register are listed with minimal contact information, though a Certified Professional may choose to make additional contact information visible.

A Certified Professional may choose to keep some or all of their certification information private. Customers and prospective customers of a Certified Professional or their employer must be able to verify that someone they have been sent, or whose services they have been offered, is indeed certified. Therefore, a Certified Professional may specify credentials that they can provide to such individuals to allow them to query the web-based Register of Certification Professionals and view select private information in the Certification Record.

Accredited Certification Programs may elect to have their Certified Professionals not listed publicly in the Register or to have the basic information of the Certified Professional made public. Accredited Certification Programs may also elect to prevent the Certified Professionals they employ altering the visibility of their Certification Records.

The Certification Authority will not disclose any information about a Certified Professional without their permission.

A Candidate's Milestone Application Form, Experience Application Form, and Certification Package will not be made public by the Certification Authority, or by an Accredited Certification Program.

### **5.3 Termination of Certification**

All past and present Certified Professionals are included in the Register of Certified Professionals. If a professional ceases to be certified, the Certification Authority will change their certification status in the Register to indicate the date at which certification was terminated.

A professional shall cease to be certified if:

- The professional or Accredited Certification Program requests that the Certification Authority withdraw them from the Register of Certified Professionals
- The professional fails to pay any fees due to the Certification Authority
- The professional ceases to meet the applicable Conformance Requirements
- The professional fails to meet the re-certification requirements or declines to re-certify
- The professional fails to confirm the Certification Record within 90 days of the request

### **5.4 Removal from the Register**

Individuals found to have achieved certification under false pretenses or who have breached the terms and conditions of the Program will have their certification terminated and will also have their Certification Records removed from the Register of Certified Professionals in each of The Open Group certification programs in which the person is listed.

## 6. Evaluation

### 6.1 Board Members Selection Criteria

For Level 3 Peer Review Boards, all Board Members must be certified at Level 3 in the Profession for which they are being asked to interview.

For Level 2 Peer Review Boards, all Board Members must be certified at Level 2 or 3 in the Profession for which they are being asked to interview.

For Level 1 Peer Review Boards, all Board Members must be certified at Level 2 or 3 in the Profession for which they are being asked to interview.

### 6.2 Direct Certification Evaluation Procedures

The Board Member Handbook defines the procedures to be followed when The Open Group directly assesses Candidates for their compliance with the Conformance Requirements.

The Board Member Handbook is maintained by the Certification Authority and may be updated from time to time, subject to approval by the Specification Authority.

New versions of the Board Member Handbook come into force three (3) months after their introduction, at which time the previous version will no longer be used.

The Board Member Handbook is available to Board Members from the Certification Authority's website.

#### 6.2.1 Evaluation of Milestone Application Forms

The Configuration Document for each Profession specifies which Milestone Application Forms may be reviewed solely by the Certification Authority, and which must also be reviewed by a Board Member.

If a Milestone Application Form requires Board Member review, the Certification Authority will appoint a Board Member to conduct the review, provide a report, and provide either an accept or decline verdict to the Certification Authority. Board Members(s) may contact the Candidate with questions of clarification.

#### 6.2.2 Evaluation of Certification Packages

The process for evaluating conformance starts with a review of the Candidate's Certification Package by the Certification Authority and the members of the Peer Review Board.

This is followed by interview(s), as shown in the following table:

	Level 1	Level 2	Level 3
Initial Certification	Remote (telephone or video) or face-to-face interview by a single Board Member. If the Board Member recommends to decline, a second Board Member conducts an interview. If the two Board Members disagree, a third Board Member is appointed to break the tie.	Separate face-to-face or video interviews of the Candidate by each of the three members of a Peer Review Board.	Separate face-to-face or video interviews of the Candidate by each of the three members of a Peer Review Board.

The Board decision-making process is as follows:

- **For Level 2 and Level 3:**

Three (3) members of the Peer Review Board will be assigned to interview the individual in separate interviews. Peer Review Boards will be convened at times determined by the Certification Authority. The Board will decide by majority vote whether the result is to accept or decline.

- **For Level 1:**

A single Board Member will interview the Candidate. If the Board Member decides that the combination of Certification Package and interview demonstrates that the Conformance Requirements are met, then the result is to accept.

If the Board Member decides that the combination of Certification Package and interview demonstrates that one or more of the Conformance Requirements are **not** met, then a second Board Member will be assigned to interview the Candidate.

If, after this interview, both Board Members agree that in the combination of Certification Package and interview the Candidate failed to demonstrate conformance to the same Conformance Requirement(s), then the result is to decline.

If the two Board Members do not agree on any Conformance Requirement that the Candidate does not meet, a third Board Member will carry out an interview, and a consensus meeting will be held to decide the matter.

**The objective of the Peer Review Board interview is to verify the information in the Candidate's Certification Package and validate whether the Candidate's professional skills and experience meet the Conformance Requirements.**

### 6.3 Indirect Certification Evaluation Procedures

Accredited Certification Programs develop and maintain their own evaluation procedures. One of the principal Conformance Requirements of Accredited Certification Programs is that they use procedures that are functionally equivalent to the Certification Authority's Direct Certification evaluation procedures and use evaluation criteria that are no less stringent than those used by the Certification Authority.

Accredited Certification Programs may employ evaluation procedures and criteria that are more stringent or wider in scope than those used by the Certification Authority.

It is recognized that an Accredited Certification Program, by virtue of being the organization that employs the Candidate, has knowledge of the Candidate that would not be available to the Certification Authority or to a Direct Peer Review Board. The availability of such knowledge is considered when the Certification Authority assesses an Accredited Certification Program for the functional equivalence of their evaluation procedures.

Accredited Certification Programs are required to update their evaluation procedures and criteria whenever this Certification Policy or the Board Member Handbook is updated in a way that materially affects the Accredited Certification Program's evaluation procedures.

For major changes and new requirements, Accredited Certification Programs must use the updated versions no later than six (6) months after publication of the new version by the Certification Authority.

For bug-fixes and minor changes, Accredited Certification Programs must use the updated versions no later than three (3) months after publication of the new version by the Certification Authority.

Categorization of changes into major, minor, or bug-fix is performed by the Specification Authority.

## **7. Change of Employment**

If a Certified Professional leaves the employment of the company listed as the employer in the Certification Record, or otherwise changes employment, the Certified Professional must update their Certification Record on the Certification Authority's website.

If a Certified Professional moves to an employer that operates an Accredited Certification Program, then in order for the Certified Professional to be covered under their employer's Accredited Certification Program, the manager of the Accredited Certification Program must accept the change to the Certified Professional's Certification Record on the Certification Authority's website.

If a Certified Professional moves from an employer that operates an Accredited Certification Program to an employer that does not operate an Accredited Certification Program, certification continues as normal until re-certification. Re-certification will take place directly with the Certification Authority.

Change of employment does not affect the term of certification.

## **8. Multiple Certifications**

An individual may hold multiple certifications in the Program simultaneously, either within one Profession or across Professions.

Individuals may apply for Milestone Badges and Certification Badges in any of the Professions at any time.



## 9. Re-Certification

### 9.1 Duration of Certification

Certification is valid for three (3) years, after which re-certification is required. The last day of this three-year period is called the *re-certification date*.

The objective of re-certification is to ensure that Certified Professionals continue to hone their skills and maintain their status as practitioners of the Profession, as well as to ensure that the Register of Certified Professionals is kept up-to-date.

The Certification Authority will send reminders by email to Certified Professionals four (4) months and two (2) months prior to the end of their three (3)-year certification term.

### 9.2 Duration of Milestone Badges

Each Milestone Badge is valid for the duration defined in the Configuration Document for the Profession to which the Milestone Badge applies. When a Milestone Badge expires, the badge may not be renewed but a professional may re-apply for the same badge using the current Milestone Application Form, following the process in Section 2.1 above (Steps 2 and 4). Alternatively, a professional may wish instead to apply for a different Milestone Badge; for example, at a higher level or in a new Discipline/Stream/Specialization (if applicable), as appropriate for their career path.

As with their initial certification, a Certified Professional should plan ahead to ensure they have the relevant Milestone Badges for re-certification.

### 9.3 Direct Re-Certification

Direct re-certification applies both to people who were certified under the original “monolithic” approach and to those who have achieved certification through the Milestone approach. It also applies to Certified Professionals who were certified within an Accredited Certification Program but who have changed employers and now wish to re-certify directly.

If the Certified Professional holds **current** Open Group Milestone Badges that demonstrate that all of the re-certification requirements documented in the Profession’s Configuration Document are met, then the Certification Authority will re-certify the Certified Professional automatically.

If the Certified Professional does not hold current Open Group Milestone Badges that demonstrate that all of the re-certification requirements documented in the Profession’s Configuration Document are met, then the Certified Professional may **either** apply for the needed Milestone Badges, **or** complete a Re-Certification Application Form to describe the activities they have performed that demonstrate that they meet the re-certification requirements documented in the Profession’s Configuration Document. The submitted information will be evaluated in the same way as applications for Milestone Badges described in Section 2.1 above and as further detailed in the Profession’s Configuration Document.

When re-certification is successfully achieved, the Certification Authority will inform the Certified Professional and ask that they visit the Certification Authority’s website to update and confirm the information held in the Certification Record. The Certification Authority will update the Register of Certified Professionals and revise the end-date in the Certified Professional’s Certification Badge and Certificate.

In the interim period before the Certification Authority starts issuing Milestone Badges, Certified Professionals must submit a Re-Certification Application Form to the Certification Authority.

If Certified Professionals wish to upgrade their certification to a higher level, they must apply for certification at that higher level.

Regardless of when re-certification takes place, the new three-year certification period starts at the end of the previous certification period.

Professionals whose certification has lapsed may regain their certification by re-certifying at any time up until one (1) year after their re-certification date. In such cases the new three-year certification period also starts at the re-certification date.

### **9.3.1 Evaluation for Re-Certification**

The Certification Authority will audit the submitted information and validate that it is complete and well formed.

If the submitted information is complete and well formed, it will be passed to the Peer Review Board for review against the then applicable Conformance Requirements.

The evaluation process for re-certification at Level 1, Level 2, and Level 3 is as follows:

- One Board Member will review the submitted information
- Normally the Board Member will not interview the Certified Professional, but may do so to resolve questions of clarification
- If the Board Member considers that the submitted information meets the requirements for re-certification, then the outcome is to accept the re-certification
- If the Board Member recommends that re-certification be declined, a second Board Member will review the submitted information

If the second Board Member also recommends that re-certification be declined, then the re-certification outcome is to decline. If the second Board Member recommends accepting the re-certification, then a third Board Member will be asked to review the submitted information and decide the outcome. The second and third Board Members may also interview the Certified Professional by telephone or video to resolve questions of clarification.

### **9.4 Indirect Re-Certification**

Accredited Certification Programs will operate an equivalent re-certification process, but may impose more stringent requirements.

## **10. Problem Reporting and Interpretations**

### **10.1 Overview**

During the certification process or during the preparation phase, a Candidate may encounter a problem that inhibits or will inhibit their certification submission or evaluation. The Candidate may file a Problem Report via the Certification Authority's website to obtain resolution to the issue. Problem Reports may also be filed by third parties with an interest in the Program. The Certification Authority is the sole interface with the Candidate for problem reporting, though other parties may be involved in determining the resolution.

The types of problems that may be found include:

- Errors or ambiguities in the Conformance Requirements against which certification is based
- Errors in the Evaluation Process (evaluation procedures and criteria)
- Errors in the Certification System itself, specifically related to the registration process, agreements, and completion of Certification Records

The Problem Report is used specifically for the types of errors listed above which are inhibiting the certification effort. For general questions about certification, or other problems not covered above, the Certification Authority can provide further information.

From time to time, Problem Reports may be submitted for issues that are better dealt with as “help” requests. The Certification Authority will mark these as “withdrawn” and raise a help desk ticket on behalf of the submitter.

### **10.2 Problem Report Resolution**

The Specification Authority is responsible for reviewing and providing a resolution to all Problem Reports. The key element of the review process is a deterministic timeline for a formal resolution to the Problem Report.

The Specification Authority will provide a resolution via the Certification Authority to the submitter within 25 business days of the Problem Report submission.

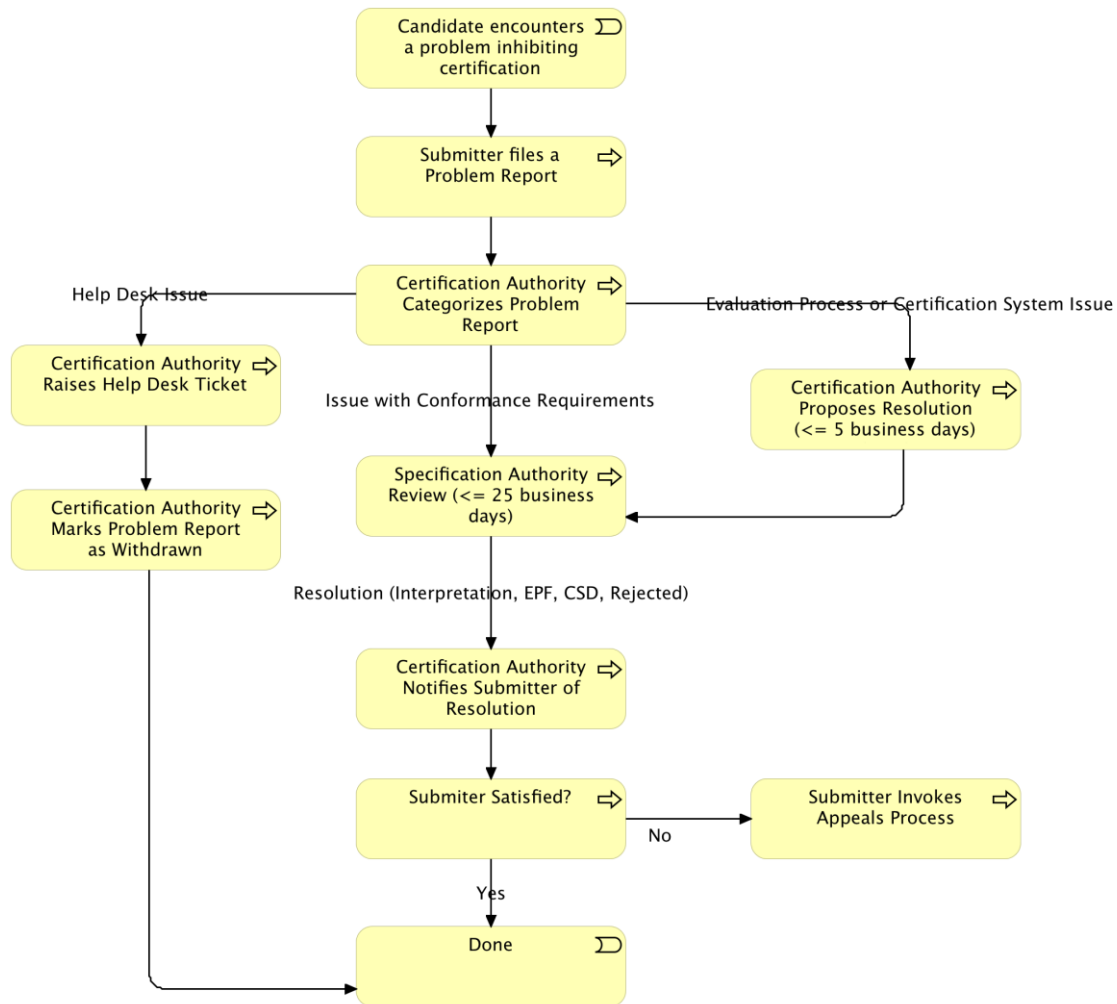
In most cases, 25 business days is sufficient to provide a final Problem Report resolution. However, in exceptional circumstances, final resolution may take longer. If possible, the Problem Report will be addressed sufficiently within the 25 business days to allow the certification process to proceed pending final resolution. The Certification Authority will notify the submitter by the 25<sup>th</sup> day of the delay and any preliminary resolution, if available.

If the submitter is not satisfied with the final resolution, the submitter may invoke the appeals process.

The Problem Report resolution process will allow the submitters to remain anonymous, so pre-certification activity is kept entirely confidential. The anonymous review process requires that requests be filtered automatically prior to distribution to the review group. Filtering will remove the section of the Problem Report intended to identify the submitter, so these are the only sections that should contain names, company names, or other confidential information. Please note that if submitter-specific information is included in the sections reserved for the technical descriptions, filtering will not result in an anonymous request.

In order for the Specification Authority to resolve Problem Reports for issues related to the certification process, an opinion from the Certification Authority is required. This opinion must be provided within six (6) business days, in order to provide a response to the submitter on time.

The process is outlined in the following diagram:



### 10.3 Resolution of Problem Reports

The possible outcomes for Problem Report resolution are:

- Accepted as an error or ambiguity in the Conformance Requirements (an Interpretation)
- Accepted as an error in the Evaluation Process (Evaluation Process Deficiency)
- Accepted as an error in the Certification System (Certification System Deficiency)
- Rejected

The issuance of Interpretations, Evaluation Process Deficiencies, and Certification System Deficiencies will not cause previously Certified Professionals to be “un-certified”. Interpretations, Evaluation Process Deficiencies, and Certification System Deficiencies evolve the definition of conformance over time and Certified Professionals are always required to conform to the current definition of conformance. At the time of certification renewal, the Certified Professional will be required to confirm that they conform to the applicable Conformance Requirements, including all Interpretations that have been granted since the previous certification.

### **10.3.1 Interpretations**

An Interpretation elaborates or refines the meaning of a set of Conformance Requirements, by clarifying an error or ambiguity in the Conformance Requirements document or a document referenced therein. Interpretations apply to a specific version of a Conformance Requirements document and are permanent against that version. They remain in force until the Conformance Requirements document is updated, at which time, the elaboration or refined meaning should be incorporated into the updated version.

The Specification Authority is responsible for deciding the meaning of conformance, in the professional context, to third-party specifications or other documents that form the Conformance Requirements or which are referenced therein. Problem Reports regarding such underlying or referenced specifications in the context of professional certification will be processed as normal. Problem Reports regarding underlying or referenced specifications in any other context will be rejected.

### **10.3.2 Evaluation Process Deficiency**

An Evaluation Process Deficiency (EPD) is an agreed error in the evaluation procedures or criteria that form the Evaluation Process. Evaluation Process Deficiencies apply to a specific version of the Evaluation Process and are permanent against that version. They remain in force until the Evaluation Process is updated, at which time the error should be fixed.

### **10.3.3 Certification System Deficiency**

A Certification System Deficiency (CSD) is an agreed error in the certification system. The certification system includes the workflow and information systems provided to implement the certification process. Certification System Deficiencies apply to the version of the certification system in which they are found. If the problem is blocking the certification effort, a patch will be made to the certification system to enable certification to proceed. Otherwise, the problem will be fixed in a future update of the certification system and the Certification System Deficiency will remain in force until such update.

## **10.4 Problem Report Repository**

The Certification Authority will maintain a web-accessible repository of all submitted Problem Reports for the Program and its Professions. The repository will be publicly accessible. The publicly-accessible information will contain the technical details – such as the nature of the problem and its current status of resolution – but will not contain sections reserved for submitter details, thus maintaining the confidentiality of the submitter.

A certification Candidate may cite an Interpretation, Evaluation Process Deficiency, or Certification System Deficiency to resolve discrepancies in their application for certification or a Milestone Badge, or to support their application for certification in any other way, irrespective of the origin of the Problem Report.

## 11. Appeals Process

Candidates and Certified Professionals may appeal decisions made by the Specification Authority or Certification Authority. The occasions that may give rise to an appeal include, but are not limited to:

- Disagreement with the resolution of a Problem Report
- Disagreement with the Certification Authority's grounds for denying the award of certification
- Disagreement with a formal notification of the need to rectify a non-conformance

Appeal requests should be made to the Certification Authority at the email address shown on the Certification Authority's website.

There are two levels of appeal:

- A Technical Review
- A Board Review

At each level of appeal, the appellant has the right to representation at the review meeting to make their case, though is not required to do so. The appeals process will be anonymous if the appellant does not wish to be represented at the review meetings. In such case, the Certification Authority will remove the details of the appellant from all information provided for the Technical and/or Board Reviews.

An appellant wishing to dispute a decision may request a Technical Review. Technical Review requires the Specification Authority to consider the matter and produce a response with a recorded vote according to normal voting rules of The Open Group, within 30 calendar days of the request. The Specification Authority may commission reports from independent experts, and may seek input from other committees within The Open Group as it sees fit.

If the appellant is not satisfied with the outcome of the Technical Review, the appellant may request an appeal to The Open Group Governing Board within 14 calendar days of being notified in writing by the Certification Authority of the results of the Technical Review. The Open Group Governing Board may ask for technical reports from the relevant working groups and may also ask for reports from independent experts. The Board Review will be completed within 90 calendar days of the appellant's written request for a Board Review. The results of a Board Review are final and cannot be further appealed.

## **12. Confidentiality and Disclosure**

### **12.1 Confidentiality**

All information relating to a Candidate will be held confidential to the Accredited Certification Program, the Certification Authority, and Peer Review Board during the certification process; that is, prior to the award of certification. This includes information related to the Certification Record, Certification Package, Milestone and Experience Application Forms, and any Problem Reports.

Candidates' Certification Packages, Milestone Application Forms, and Experience Application Forms are confidential information and will not be disclosed in any publicly-available document or to any third party by the Accredited Certification Program, the Certification Authority, or the Peer Review Board.

In addition, the Certification Authority will always hold confidential all information regarding unsuccessful applications for certification.

### **12.2 Disclosure of Information**

Any claims of conformance or information related to the certification process may only be made public after the Certification Authority has notified the Candidate in writing that they have successfully completed the certification process and are now a Certified Professional.

Any Certified Professional must produce their Certificate(s) and/or provide access to their Certification Record to actual and prospective customers at the customer's request.

The Certification Authority will make certification information available as described in Section 3.2 and Section 5.2 of this policy document.

### **13. Recognition of Other Qualifications**

From time to time the Specification Authority may decide to recognize qualifications obtained through other certification or similar programs as meeting some or all of the requirements for certification and/or Milestone Badges in the Program. Any such recognition in a Profession will be documented in the Profession's Configuration Document.

Implementation of recognition of third-party qualifications is optional for Accredited Certification Programs.



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